



Substitute Form PTO 1449

INFORMATION DISCLOSURE STATEMENT	Application No.	09/802,169
	Filing Date	March 8, 2001
	Inventor	Christopher Keith
	Group Art Unit	2165
	Examiner	TBA
Sheet 1 of 2		Atty. Docket No. 0505-4012

U.S. PATENT DOCUMENTS						
Examiner Initials	Cite No.	U.S. Patent Document		Name of Patentee	Publication Date MM-DD-YYYY	Relevant text or Figs.
		Number	Kind Code			
CG	AA	6134535		Belzberg	10-17-2000	
CG	AB	6105005		Fuhrer	08-15-2000	
CG	AC	6092056		Tull, Jr. et al.	07-18-2000	
CG	AD	6035287		Stallaert et al.	03-07-2000	
CG	AE	6026383		Ausubel	02-15-2000	
CG	AF	6021398		Ausubel	02-01-2000	
CG	AG	6018722		Ray et al.	01-25-2000	
CG	AH	6016483		Rickard	01-18-2000	
CG	AI	6012046		Lupien	01-04-2000	
CG	AJ	5987435		Weiss	11-16-1999	
CG	AK	5978779		Stein et al.	11-02-1999	
CG	AL	5963923		Garber	10-05-1999	
CG	AM	5950177		Lupien et al.	09-07-1999	
CG	AN	5950176		Keiser	09-07-1999	
CG	AO	5946667		Tull, Jr.	08-31-1999	
CG	AP	5946666		Nevo et al.	08-31-1999	
CG	AQ	5941996		Smith	08-24-1999	
CG	AR	5315634		Tanaka et al.	05-24-1994	
CG	AS	5924082		Silverman	07-13-1999	
CG	AT	5826244		Huberman	10-20-1998	
CG	AU	5806048		Kiron	09-08-1998	

RECEIVED
 AUG 18 2001
 Technology Center 2100

FOREIGN PATENT DOCUMENTS								
Examiner Initials	Cite No.	Foreign Patent Documents			Name of Patentee or Assignee	Publication Date MM-DD-YYYY	Relevant text or Figs.	Trsl. (v)
		Office	Number	Kind Code				
	BA	WO	00/63814	A1	Lava Trading	10-26-2000		
	BB	WO	01/02930	A2	Globenet Capital Corporation	01-11-2001		

Examiner Signature	C GRAHAM	Date Considered	4/1/2008
--------------------	----------	-----------------	----------



INFORMATION DISCLOSURE STATEMENT	Application No.	09/802,169
	Filing Date	March 8, 2001
	Inventor	Christopher Keith
	Group Art Unit	2165
	Examiner	TBA
Sheet 2 of 2	Atty. Docket No.	0505-4012

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No.	AUTHOR, title, magazine, date, pages, publisher, city where published	Trsl. (v)
CG	CA	"AuctionBot", 9 pages from http://auction.eecs.umich.edu , printed March 30, 2000	
CG	CB	MAES et al., "Agents that Buy and Sell: Transforming Commerce as we Know It", Comm. ACM, March 1999, vol. 42, no. 3	
CG	CC	WELLMAN et al., "Real Time Issues for Internet Auctions", First IEEE Workshop on Dependable and Real-Time E-Commerce Systems (DARE-98), Denver, CO, June 1998	
CG	CD	WURMAN et al., "Flexible Double Auctions for Electronic Commerce: Theory and Implementation", July 13, 1998, to appear in "Decision Support Systems"	
CG	CE	MERTZ et al., "The Handbook of Investment Technology," Chapters 7, 8, and 15	
CG	CF	KEYES, "Handbook of Technology Financial Services, Chapters 5, 36, 37, 40	
CG	CG	TEWELES et al., "The Stock Market," Chapters 8 and 23	
CG	CH	DALTON, "How the Stock Market Works," Chapters 5 and 7	
CG	CI	"PeCo-Mediator: finding partners via personal connections," IEEE Int. Conf. on Systems, Man and Cybernetics 1996, vol. 1:802-7 Abstract	
CG	CJ	PROPSON, "The Secret Matchmaker," BUSINESS2.COM, March 6, 2001, pp 90-93	
CG	CK	ARVEDLUND, "An Arranged Exchange," BUSINESS2.COM, February 6, 2001, pp 90-91	
CG	CL	CHANG, "New Age Bidding: Against Computers, Humans Usually Lose," New York Times, January 2, 2001, pages 1-3	
CG	CM	RIJNEN, "Trading Places," Alleycat News, pages 61-73, November 2000	
CG	CN	e-mail from lab_rat@listserv.redherring.com, dated February 8, 2001, Subject: LAB RAT: Smart technology trounces traders, pages 1-5	

Examiner Signature	C GRAHAM	Date Considered	3/1/08
--------------------	----------	-----------------	--------

RECEIVED

AUG 18 2001

Technology Center 2100

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)	Application Number		09802169
	Filing Date		2001-03-08
	First Named Inventor	Keith	
	Art Unit	3692	
	Examiner Name	C.B. Graham	
	Attorney Docket Number	IVEN125473	

U.S.PATENTS						Remove
Examiner Initial*	Cite No	Patent Number	Kind Code ¹	Issue Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
CG	1	3702007	A	1972-10-31	Davis II	
CG	2	4346442	A	1982-08-24	Musmanno	
CG	3	4376978	A	1983-03-15	Musmanno	
CG	4	4456957	A	1984-06-26	Schieltz	
CG	5	4823265	A	1989-04-18	Nelson	
CG	6	5077665	A	1991-12-31	Silverman	
CG	7	5101353	A	1992-03-31	Lupien	
CG	8	5148365	A	1992-09-15	Dembo	

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number		09802169
Filing Date		2001-03-08
First Named Inventor	Keith	
Art Unit	3692	
Examiner Name	C.B. Graham	
Attorney Docket Number	IVEN125473	

CG	9	5253165	A	1993-10-12	Leiseca	
CG	10	5297031	A	1994-03-22	Guttermann	
CG	11	5412804	A	1995-05-02	Krishna	
CG	12	5453601	A	1995-09-26	Rosen	
CG	13	5615269	A	1997-03-25	Micali	
CG	14	5689652	A	1997-11-18	Lupien	
CG	15	5787402	A	1998-07-28	Potter	
CG	16	5845266	A	1998-12-01	Lupien	
CG	17	5915245	A	1999-06-22	Patterson, Jr.	
CG	18	5924083	A	1999-07-13	Silverman	
CG	19	5953707	A	1999-09-14	Huang	












**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number		09802169
Filing Date		2001-03-08
First Named Inventor	Keith	
Art Unit	3692	
Examiner Name	C.B. Graham	
Attorney Docket Number	IVEN125473	



	20	5983200	A	1999-11-09	Slotznick	
	21	6014643	A	2000-01-11	Minton	
	22	6029146	A	2000-02-22	Hawkins	
	23	6035289	A	2000-03-07	Chou	
	24	6101484	A	2000-08-08	Halbert	
	25	6131087	A	2000-10-10	Luke	
	26	6236980	B1	2001-05-22	Reese	
	27	6278982	B1	2001-08-21	Korhammer	
	28	6285989	B1	2001-09-04	Shoham	
	29	6317727	B1	2001-11-13	May	
	30	6317728	B1	2001-11-13	Kane	

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number		09802169
Filing Date		2001-03-08
First Named Inventor	Keith	
Art Unit	3692	
Examiner Name	C.B. Graham	
Attorney Docket Number	IVEN125473	



	31	6321212	B1	2001-11-20	Lange	
	32	6343278	B1	2002-01-29	Jain	
	33	6359633	B1	2002-03-19	Balasubramaniam	
	34	6408282	B1	2002-06-18	Buist	
	35	6418419	B1	2002-07-09	Nieboer	
	36	6421653	B1	2002-07-16	May	
	37	6493682	B1	2002-12-10	Horrigan	
	38	6505174	B1	2003-01-07	Keiser	
	39	6553346	B1	2003-04-22	Walker	
	40	6601044	B1	2003-07-29	Wallman	
	41	6625583	B1	2003-09-23	Silverman	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)	Application Number		09802169	
	Filing Date		2001-03-08	
	First Named Inventor	Keith		
	Art Unit	3692		
	Examiner Name	C.B. Graham		
	Attorney Docket Number	IVEN125473		

	42	6792399	B1	2004-09-14	Phillips	
	43	7058601	B1	2006-06-06	Paiz	

If you wish to add additional U.S. Patent citation information please click the Add button.

U.S.PATENT APPLICATION PUBLICATIONS

Examiner Initial*	Cite No	Publication Number	Kind Code ¹	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20030014354	A1	2003-01-16	Madoff	
	2	20030014379	A1	2003-01-16	Saia	


If you wish to add additional U.S. Published Application citation information please click the Add button.

FOREIGN PATENT DOCUMENTS

Examiner Initial*	Cite No	Foreign Document Number ³	Country Code ²	Kind Code ⁴	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T ⁵
	1							<input type="checkbox"/>






If you wish to add additional Foreign Patent Document citation information please click the Add button.

NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T ⁵
	1	Board of Trade of the City of Chicago, Commodity Trading Manual, 1998, pp. 178-179, 387.	<input type="checkbox"/>

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number		09802169
Filing Date		2001-03-08
First Named Inventor	Keith	
Art Unit	3692	
Examiner Name	C.B. Graham	
Attorney Docket Number	IVEN125473	

	2	Hull, J.C., Introduction to Futures & Options Markets, 2d ed., Prentice Hall, Englewood Cliffs, N.J., 1995, pp. 4-6, 11, 26, 33-34.	<input type="checkbox"/>
	3	Livingston, M., Bonds and Bond Derivatives, Blackwell Publishers Inc., Malden, Mass., 1999, pp. 38-41.	<input type="checkbox"/>
	4	"More Companies Buying Back Stock," The Salt Lake Tribune, April 9, 2000, <http://proquest.umi.com/pqdweb?index=6&did=52501230&SrchMode=1&sid=21&Fmt=3...>[retrieved November 3, 2005].	<input type="checkbox"/>
	5	The Options Institute, "Options: Essential Concepts & Trading Concepts," 3d ed., McGraw-Hill, New York, 1999, p. 420.	<input type="checkbox"/>
	6	"Streamer Free Real-Time Stock Quote Service Registers 12,000 Users," PR Newswire, November 3, 1999, <http://www.findarticles.com/m4PRN/1999_Nov_3/57153236/p1/article.jhtml> [retrieved April 5, 2004].	<input type="checkbox"/>

If you wish to add additional non-patent literature document citation information please click the Add button

EXAMINER SIGNATURE

Examiner Signature	C. G. R. H. A. M.	Date Considered	4/1/08
--------------------	-------------------	-----------------	--------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. ² Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). ³ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁴ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁵ Applicant is to place a check mark here if English language translation is attached.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)

Application Number 09802169

Filing Date 2001-03-08

First Named Inventor Keith





Art Unit 3692

Examiner Name C. Graham

Attorney Docket Number IVEN125473

U.S. PATENTS

Remove


Examiner Initial*	Cite No	Patent Number	Kind Code ¹	Issue Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
	1	5864827	A	1999-01-26	Wilson	
	2	6012043	A	2000-01-04	Albright	
	3	6377940	B2	2002-04-23	Tilfors	
	4	6493681	B1	2002-12-10	Tertitski	

If you wish to add additional U.S. Patent citation information please click the Add button.

Add

U.S. PATENT APPLICATION PUBLICATIONS

Remove

Examiner Initial*	Cite No	Publication Number	Kind Code ¹	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
	1	20060195386	A1	2006-08-31	Glodjo	

If you wish to add additional U.S. Published Application citation information please click the Add button.

Add

FOREIGN PATENT DOCUMENTS

Remove

Examiner Initial*	Cite No	Foreign Document Number ³	Country Code ² i	Kind Code ⁴	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	T ⁵
-------------------	---------	--------------------------------------	-----------------------------	------------------------	------------------	---	--	----------------

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)




Application Number	09802169
Filing Date	2001-03-08
First Named Inventor	Keith
Art Unit	3692
Examiner Name	C. Graham
Attorney Docket Number	IVEN125473

	1							<input type="checkbox"/>
--	---	--	--	--	--	--	--	--------------------------

If you wish to add additional Foreign Patent Document citation information please click the Add button **Add**

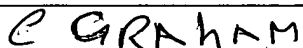
NON-PATENT LITERATURE DOCUMENTS

Remove

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T ⁵
	1	LOWENSTEIN, R., "Why Stock Options Can Be Dynamite for a Portfolio," Wall Street Journal (Europe), November 7, 1997, p. 13.	<input type="checkbox"/>
	2	McGUIRE, C., "FIXML Set for Launch," Wall Street & Technology 17(3):50, March 1999.	<input type="checkbox"/>
	3	TSU, M.E., "Tutorial on Using Options in Active Strategies," Derivatives Quarterly 6(1):39-48, Fall 1999.	<input type="checkbox"/>

If you wish to add additional non-patent literature document citation information please click the Add button **Add**

EXAMINER SIGNATURE

Examiner Signature		Date Considered	4/1/08
--------------------	---	-----------------	--------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. ² Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). ³ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁴ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁵ Applicant is to place a check mark here if English language translation is attached.

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number	09802169
Filing Date	2001-03-08
First Named Inventor	Keith
Art Unit	3692
Examiner Name	C. Graham
Attorney Docket Number	IVEN125473

CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

OR

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

☐ See attached certification statement.

☐ Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ None






SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Kevan L. Morgan/	Date (YYYY-MM-DD)	2007-06-11
Name/Print	Kevan L. Morgan	Registration Number	42015

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)	Application Number		09802169	
	Filing Date		2001-03-08	
	First Named Inventor	Keith		
	Art Unit	3692		
	Examiner Name	C.B. Graham		
	Attorney Docket Number	125473		

U.S.PATENTS							Remove	
Examiner Initial*	Cite No	Patent Number	Kind Code ¹	Issue Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear		
	1	6021397	A	2000-02-01	Jones			
	2	6594643	B1	2003-07-15	Freeny, Jr.			
If you wish to add additional U.S. Patent citation information please click the Add button.							Add	
U.S.PATENT APPLICATION PUBLICATIONS							Remove	
Examiner Initial*	Cite No	Publication Number	Kind Code ¹	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear		
	1	20010042785	A1	2001-11-22	Walker			
	2	20020107781	A1	2002-08-08	Neyman			
	3	20040117302	A1	2004-06-17	Weichert			
If you wish to add additional U.S. Published Application citation information please click the Add button.							Add	
FOREIGN PATENT DOCUMENTS							Remove	
Examiner Initial*	Cite No	Foreign Document Number ³	Country Code ²	Kind Code ⁴	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	T ⁵

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)


Application Number	09802169
Filing Date	2001-03-08
First Named Inventor	Keith
Art Unit	3692
Examiner Name	C.B. Graham
Attorney Docket Number	125473

	1							<input type="checkbox"/>
--	---	--	--	--	--	--	--	--------------------------

If you wish to add additional Foreign Patent Document citation information please click the Add button **Add**

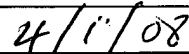
NON-PATENT LITERATURE DOCUMENTS

Remove

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T ⁵
	1	TWITCHELL, E.E., "Barron's Online: Extreme Markets," Barron's 80(15):36, April 20, 2000.	<input type="checkbox"/>

If you wish to add additional non-patent literature document citation information please click the Add button **Add**

EXAMINER SIGNATURE

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. ² Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). ³ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁴ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁵ Applicant is to place a check mark here if English language translation is attached.

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number	09802169
Filing Date	2001-03-08
First Named Inventor	Keith
Art Unit	3692
Examiner Name	C.B. Graham
Attorney Docket Number	125473

CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

OR

☒ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

☐ See attached certification statement.

☐ Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☐ None

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Kevan L. Morgan/	Date (YYYY-MM-DD)	2007-10-09
Name/Print	Kevan L. Morgan	Registration Number	42,015

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number	09802169
Filing Date	2001-03-08
First Named Inventor	C. Keith
Art Unit	3692
Examiner Name	C. B. Graham
Attorney Docket Number	125473

	1		<input type="checkbox"/>
--	---	--	--------------------------

If you wish to add additional non-patent literature document citation information please click the Add button



EXAMINER SIGNATURE

Examiner Signature	C. GRAHAM	Date Considered	4/1/08
--------------------	-----------	-----------------	--------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. ² Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). ³ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁴ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁵ Applicant is to place a check mark here if English language translation is attached.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)	Application Number		09802169	
	Filing Date		2001-03-08	
	First Named Inventor	C. Keith		
	Art Unit	3692		
	Examiner Name	C. B. Graham		
	Attorney Docket Number	125473		

U.S.PATENTS							Remove	
Examiner Initial*	Cite No	Patent Number	Kind Code ¹	Issue Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear		
	1	7242669	B2	2007-07-10	Bundy			
If you wish to add additional U.S. Patent citation information please click the Add button.							Add	
U.S.PATENT APPLICATION PUBLICATIONS							Remove	
Examiner Initial*	Cite No	Publication Number	Kind Code ¹	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear		
	1	20020004774	A1	2002-01-10	Defarlio			
If you wish to add additional U.S. Published Application citation information please click the Add button.							Add	
FOREIGN PATENT DOCUMENTS							Remove	
Examiner Initial*	Cite No	Foreign Document Number ³	Country Code ² j	Kind Code ⁴	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	T ⁵ .
	1							<input type="checkbox"/>
If you wish to add additional Foreign Patent Document citation information please click the Add button							Add	
NON-PATENT LITERATURE DOCUMENTS							Remove	
Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.						T ⁵